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Attorney's Docket No. LEW 17,186-1 **PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application
of J. Anthony Powell; Philip G. Neudeck
Inventor(s)
for Method for Growing Low-Defect Single Crystal Heteroepitaxial Films
Title of invention
the specification of which is being transmitted herewith

OR

In re application of:

Serial No.: 0 /
Filed:
For:

Group No.:
Examiner:

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

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37 CFR 1.8(a)

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NOTE: "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 CFR 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) each inventor named in the application;

(2) each attorney or agent who prepares or prosecutes the application; and

(3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 CFR 1.56(c).

NOTE: The "duty as described in § 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b) - (d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13 -25 at 17.

WARNING: "No information disclosure statement may be filed in a provisional application." 37 CFR § 1.51(b).

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this Information Disclosure Statement:

(check sections forming a part of this statement: discard unused sections and number pages consecutively)

1. ☐ Preliminary Statements
2. ☒ FORM PTO - 1449 (Modified)
3. ☐ Statement as to Information Not Found in Patents or Publications
4. ☐ Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. ☒ Cumulative Patents or Publications
6. ☐ Copies of Listed Information Items Accompanying This Statement
7. ☐ Concise Explanation of Non-English Language Listed Information Items
   - 7A. ☐ EPO Search Report
   - 7B. ☐ English Language Version of EPO Search Report
8. ☐ Translation(s) of Non-English Language Documents
9. ☐ Concise Explanation of English Language Listed Information Items (Optional)
10. ☐ Identification of Person(s) Making This Information Disclosure Statement

(complete the following, if appropriate)

Sections , respectively, have been continued on ADDED PAGE(S).

NOTE: "Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

OTHER DOCUMENTS

1. "Process-Induced Morphological Defects in Epitaxial CVD Silicon Carbide" by J.A. Powell and D.J. Larkin, published in Physica Status Solidi (b), vol. 202, no. 1, pp. 529-548 (1997). F.H.

2. "Nucleation and Step-Motion in Chemical Vapor Deposition of SiC on 6H-SiC {0001} Faces" by T. Kimoto and H. Matsunami, published in J. Appl. Phys., vol. 76, pp. 7322-7327 (1994). F.H.

3. "Growth and Characterization of Silicon Carbide Polytypes for Electronic Applications," by J.A. Powell, P. Pirouz, and W.J. Choyke, Chapter 11 in Semiconductor Interfaces, Microstructures and Devices: Properties and Applications, Edited by Z.C. Feng, Institute of Physics Publishing, Bristol, pp. 257-293 (1993). F.H.

4. "Refinement of the Crystal Structure of SiC Type 6H," by A.H. Gomes de Mesquita in Acta Crystallographica, volume 23, pp. 610-617 (1967). F.H.

Name Debra Hitchcock Date 8/20/02

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Kent N. Stone